

## RISK MANAGEMENT REPORT

No	1	Assigned To	Andrea Rohmann	Risk Exposure	High
Date Identified:	12/1/2004	Probability	Medium	Time Frame	Medium
Disposition	Closed	Risk Type	Schedule	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Resolved
				Date Resolved:	6/9/2005

**Risk Statement** The Lack of Office Space for BIS Project Team could result schedule delays

**Description** The current office space is inadequate in terms of size and features. If the BIS team is not provided with appropriate office space it is likely that the team will suffer losses in productivity. There is also a medium risk of document security breaches if the office space problem persists into February. The project will have fully developed procurement documents, which must be kept confidential. The current space is open with little facility for document security.

**Trigger** June 1, 2005 - core procurement processing.

**Action Plan** To move into a more secure and larger area to accommodate security and the increase in staff resources.

**Action Plan Updates** 6/9/05 moved to 349N, a secure area.

No	2	Assigned To	Kim Brain	Risk Exposure	High
Date Identified:	3/1/2005	Probability	High	Time Frame	Medium
Disposition	Closed	Risk Type	Quality, Budget and Schedule	Risk Criticality	High
Risk or Issue	Risk	Impact	High	Response Strategy	Accept
				Date Resolved:	6/29/2005

**Risk Statement** The BIS project could encounter problems with schedule, cost and performance on the project if DGS requires 50% weighting for Cost.

**Description** The possible DGS requirement of weighing cost at 50% for the entire ERP Procurement would likely cause schedule, cost, or performance problems on the project.

**Trigger** June 1, 2005 - anticipated final RFP development

**Action Plan** Provide DGS an alternative cost weighting plan. If DGS does not agree, BIS will develop an alternative evaluation scoring to include thresholds to ensure vendor viability and capability.

**Action Plan Updates** 1/26/05 In version 2 of the ITPP, the alternative cost weighting plan was provided. DGS did not accept the recommendation. KB  
2/25/05 In version 3 of the ITPP, the cost factor was weighted at 50%. BIS project management and Gartner Group will determine how to evaluate cost of the bundled solution. KB  
6/29/05 RFP meeting with DGS, recommended threshold as related to specific requirements to more extensively evaluate vendor viability. AKR  
6/29/05 Risk accepted and RFP evaluation modified. AKR

# RISK MANAGEMENT REPORT

<b>ID No</b>	3	<b>Assigned To</b>	Kim Brain	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	8/31/2004	<b>Probability</b>	Low	<b>Time Frame</b>	Long
<b>Disposition</b>	Closed	<b>Risk Type</b>	Schedule	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	11/1/2004

<b>Risk Statement</b>	If there is no Project Management Plan in place by August resources, cost, schedule and quality could become increasingly difficult to manage.
<b>Description</b>	Should the project continue to progress beyond August without a completed project management plan, risk management plan, and the related processes, it is likely that the resources, cost, schedule, quality and risks will be increasingly difficult to manage.
<b>Trigger</b>	RFP release
<b>Action Plan</b>	Develop and complete Project Management Plan
<b>Action Plan Updates</b>	11/2004 Project management Plans completed. KB

<b>ID No</b>	4	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	8/1/2004	<b>Probability</b>	High	<b>Time Frame</b>	Medium
<b>Disposition</b>	Closed	<b>Risk Type</b>	Budget Schedule Quality	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	11/1/2004

<b>Risk Statement</b>	The current BIS Team Vacancies could cause project delays.
<b>Description</b>	The BIS project has experienced vacancies since February, 2004. Four positions have been filled, the last team member to start September 27, 2004. Two positions remain vacant - the Finance Analyst and Project Coordinator. The schedule assumed these positions would be filled and available to perform tasks in the project plan.
<b>Trigger</b>	Finance Analyst vacant. Project/Contract Coordinator vacant. Scheduled tasks not getting accomplished.
<b>Action Plan</b>	Elevate to Project Sponsor. Work with DPA to resolve classification issue on Project/Contract Coordinator. Utilize retired annuitant to perform required project tasks. Rebaseline project schedule.
<b>Action Plan Updates</b>	Hired Budget, Project and a Contract analysts



# RISK MANAGEMENT REPORT

<b>No</b>	5	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	9/1/2004	<b>Probability</b>	High	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule Quality	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Accept
				<b>Date Resolved:</b>	

**Risk Statement** The overlap of the SCO 21st Century and CDCR BIS projects could affect the Scope, Budget, Schedule, and Quality of the CDCR BIS project.

**Description** The BIS project covers 57 human resource business processes, 31 of these processes are also covered in the 21st Century project scope. Since the 21st Century project is administered by a control agency (SCO), the CDCR BIS project team has been directed to coordinate their project scope with the 21st Century project and to utilize all the functionalities offered through the 21st Century project's proposed system. Therefore any significant changes or delays to the 21st Century project will have an impact the CDCR BIS project.

**Trigger** Declaration of SCO Project scope, delays in SCO project.

**Action Plan** Continue open dialogue with SCO to define scope, integration, and interface issues; prepare an issue paper addressing the impacts to both projects; and communicate coordination issues to Executive Management in both organizations for the purpose of making informed and timely decisions.

**Action Plan Updates**  
 3/11/05 Meeting with GG to develop BIS Strategic Vision. GG recommends deleting SCO requirements from the BIS requirements. KB On 8/4/05, the BIS project will attend a demonstration of the 21st Century project proposed system. MAJ  
 4/19/05 Executive Sponsor directed project to include SCO requirements in the BIS RFP. KB  
 5/5/05 The issue paper will no longer be worked on, and both projects will continue to proactively coordinate on the implementation of each solution. KB  
 6/6/05 The RFP identified the SCO requirements as an optional bid to ensure project implementation is not negatively impacted by the SCO project schedule. AKR

<b>ID No</b>	6	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	1/1/2005	<b>Probability</b>	High	<b>Time Frame</b>	Medium
<b>Disposition</b>	Closed	<b>Risk Type</b>	Quality Schedule Budget	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	2/2/2005

**Risk Statement** The NCB for Independent project Oversight has not yet been approved by DGS.

**Description** Project oversight in necessary to maintain project schedule and continuity

**Trigger** DGS provides feedback as part of the review of the ITTP.

**Action Plan** Work with DGS to resolve issues.

**Action Plan dates** 2/2/05 NCB approved; Gartner was awarded the project and began work on 2/7/05. AKR

# RISK MANAGEMENT REPORT

No	7	Assigned To		Risk Exposure	High
Date Identified:	11/1/2004	Probability	High	Time Frame	Long
Disposition	Closed	Risk Type	Quality	Risk Criticality	High
Risk or Issue	Risk	Impact	Medium	Response Strategy	Accept
				Date Resolved:	5/5/2005

**Risk Statement** The lack of documentation related to the Technical Architecture could effect the quality of and scheduled release of the RFP.

**Description** CDC plans to develop an enterprise architecture. The architecture may not be completed in time for the issuance of the RFP.

**Trigger** RFP release date.

**Action Plan**  
Elevate issue to the Project Sponsor.  
Develop a Plan established by CDC's CIO taking the strengths of the current structure that can be included in the new architectural and determine what is missing in the current structure, measure what additional technical resources need to be added to the infrastructure. Target will be to avoid delaying the release of the RFP or having to do amendments to the architecture plan.  
Include description of current environment in the RFP, provide updates to vendors as known.  
ISD plans to hire a contractor to develop the technical architecture. The timeline does not coincide with the BIS project timeline.

**Action Plan Updates**  
3/10/05 - the BIS project is implementing Action Plan #3. KB  
05/05 - EIS has provided Technical Architecture documentation



# RISK MANAGEMENT REPORT

No	8	Assigned To	Kim Brain/Elbert Lawrence	Risk Exposure	High
Date Identified:	11/1/2004	Probability	High	Time Frame	Long
Disposition	Closed	Risk Type	Scope, Schedule, Budget, Quality	Risk Criticality	High
Risk or Issue	Risk	Impact	Medium	Response Strategy	Watch
				Date Resolved:	9/29/2005

**Risk Statement** If the Network Infrastructure Redesign is not completed and communicated to potential vendors in a timely manner, this could adversely affect the Scope, Schedule, Budget, and Quality of the BIS project.

**Description** During the procurement process for the proposed Enterprise Resource Planning (ERP) Solution, the BIS project team is responsible for providing information regarding the CDCR network architecture to potential vendors so that these vendors can propose a technical architecture for the ERP solution, as well as make recommendations to improve ERP system performance. ISD is contracting with SBC to enhance the WAN bandwidth and there is a project scheduled to implement software services that will enhance network management capabilities. The network infrastructure is a moving target and the current infrastructure will be changing at the same time the BIS team needs to complete and release the RFP.

**Trigger** RFP technology environment task due date. RFP release date.

**Action Plan** Elevate this issue to CDCR Executive Management; work closely with CDCR CIO to develop a risk mitigation plan; utilize additional technical resources to enable the BIS project consultant to focus on documenting the current technical infrastructure; decide on whether to delay the RFP or issue the RFP with amendments regarding this issue; and develop an enterprise architecture plan and potentially make decisions and assumptions regarding the architecture. Sponsor. Involve CDC CIO in the development of the risk response. Utilize additional technical resources to enable BIS technical expert to focus on documenting the current technical infrastructure as it is. Delay the release of the RFP or issue the RFP and provide amendments as required. The BIS RFP needs to contain the current technical architecture at CDC in order for the vendors to propose an application architecture for the ERP solution. The department does not maintain an enterprise architecture plan thus requiring BIS to create, document, and potentially make architecture assumptions/decisions on its own. Additionally, the amount of effort planned for creating the current technical environment section of the RFP is taking longer than planned due to the lack of strategy.

**Action Plan Updates** The BIS project team is working closely with the CDCR CIO to develop a risk mitigation plan. Additional resources were loaned from the Sierra Conservation Center (SCC) to work on other technology requirements while the BIS WAN Technical Project Lead (TPL) focuses on documenting the current technical infrastructure. End user location and volume data was provided to the WAN TPL. The BIS project plans to provide vendors information about the infrastructure as it is known at the time the RFP is released and subsequently provide updates as information is known throughout the procurement process. The BIS project team continues to meet with the CDCR CIO & EIS (ISD) to discuss network issues as they arise. The BIS project team has established a bi-weekly meeting with the WAN TPL to document and address relevant issues. MAJ The BIS project team is working closely with the CDCR CIO to develop a risk mitigation plan. Additional resources were loaned from the Sierra Conservation Center (SCC) to work on other technology requirements while the BIS WAN Technical Project Lead (TPL) focuses on documenting the current technical infrastructure. End user location and volume data was provided to the WAN TPL. The BIS project plans to provide vendors information about the infrastructure as it is known at the time the RFP is released and subsequently provide updates as information is known throughout the procurement process. The BIS project team continues to meet with the CDCR CIO & EIS (ISD) to discuss network issues as they arise. The BIS project team has established a bi-weekly meeting with the WAN TPL to document and address relevant issues.

# RISK MANAGEMENT REPORT

<b>No</b>	9	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	9/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Short
<b>Disposition</b>	Closed	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	10/4/2005
<b>Risk Statement</b>	The CDCR Subject Matter Experts are unavailable when needed which could result in project delays.				
<b>Description</b>	The unavailability of Subject Matter Experts could result in project delays.				
<b>Trigger</b>	SMEs unavailable in 10/04				
<b>Action Plan</b>	Communicate timing of when subject matter experts are needed. Delay project schedule to accommodate SME availability. Elevate issues to Executive Steering Committee. Delay project.				
<b>Action Plan Updates</b>	<p>Advance planning, weekly updates and request from SME for input</p> <p>10/2004 - Communication of SME workshops and resource need was provided to executive management. SMEs were made available and BIS met with approximately 350 SMEs during the November SME Workshops to document initial requirements. AKR</p> <p>2/2005 - Executive Sponsor communicated criticality of project success to Executive Steering Committee and Management Committee. As a result, SME availability has improved and project is receiving high support from business functional areas. AKR</p> <p>4/2005 - Follow-up SME workshops were held with full departmental support. AKR</p>				

<b>No</b>	10	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	9/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Closed	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	10/4/2005
<b>Risk Statement</b>	If the BIS Project is unable to obtain balanced representation from Health Care Services, Institutions, Parole and Community Services, and Administrative Services during the development of the RFP requirements there could be project schedule delays and the quality of the RFP could be impacted.				
<b>Description</b>	BIS Project unable to obtain balanced representation from Health Care Services, Institutions, Parole and Community Services and Administrative Services, which is needed for information processes and to maintain project schedule				
<b>Trigger</b>	Program areas continually cancel or do not show up to project meetings.				
<b>Action Plan</b>	Establish limited-term positions for ERP team to enable divisions to backfill behind personnel participating on the BIS project. Delay project/or request freeze exemption.				
<b>Action Plan Updates</b>	<p>10/2004 - Improved the communications to the operational and business areas to increase involvement. This included meetings, phone discussions and the utilization of the BIS Connection to again communicate with the general employee population.</p> <p>2/2005 - BIS Management and the Executive Sponsor clarified the role BIS will play in future departmental operations and reiterated the importance of management support and participation. AKR</p> <p>BIS Team continues efforts to communicate with all entities and has redefined the ESC to ensure appropriate involvement. AKR</p>				



# RISK MANAGEMENT REPORT

No	11	Assigned To	Andrea Rohmann/Nancy	Risk Exposure	High
Date Identified:	3/1/2005	Probability	High	Time Frame	Short
Disposition	Closed	Risk Type	Schedule Budget	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Resolved
				Date Resolved:	5/1/2005
Risk Statement	If the contract renewal for executing LAN design and engineering is not processed by June 30, 2005 there could be delays in the project schedule.				
Description	The current DGS contact expires 6/30/05. Telecom Branch is trying to get the contract renewed and look for other ways to continue business.				
Trigger	No new contract renewal by June 30, 2005.				
Action Plan	Telecom in process to initiate a new contract				
Action Plan Updates	5/2005 - Telecomm received approval from DGS to encumber against the existing contract while a new contract bid process is occurring. AKR 6/10/05 - All necessary design and engineering funds were encumbered for FY 04/05 to ensure activities could occur on schedule. AKR MAJ				

No	12	Assigned To	Andrea Rohmann	Risk Exposure	Low
Date Identified:	11/12/2004	Probability	Medium	Time Frame	Medium
Disposition	Open	Risk Type	Scope Budget Schedule	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	
Risk Statement	If the Institutions incur power issues related to addition of workstations and printers, potential delays and increase in cost could occur.				
Description	An assessment was done by the Telecom Branch during the development of the FSR. At that time, the Telecom Branch indicated that there will not be power issues with the added network connections at the Institutions. The FSR costs did not plan for resolution of power issues. KB				
Trigger	LAN expansion design and engineering.				
Action Plan	Meet monthly with communication infrastructure project management to keep apprised of project status. Early coordination with Telecomm Branch to identify potential issues.				
Action Plan Updates	5/5/05 Continue to monitor and work with Telecom to proactively identify issues. BIS receives issues from Telecom as they are completing the validation sessions. KB 5/24/05 DB and SSC debriefing with Steve Gilman in Telecom - no known power issues. KB 7/8/05 - Met with EIS (Larry Angus and Lucy Simperman) to discuss power needs and equipment capability for LAN support. A new cost projection was provided for the Adult Facilities based on the current capability and the projected need for BIS. These costs were included in the SPR related to the RFP release and will be updated and finalized in the Post Procurement SPR. AKR				

## RISK MANAGEMENT REPORT

<b>No</b>	13	<b>Assigned To</b>	Brian Gangler	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	11/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the Parole Division enhances it's network CDCR network redesign may be affected..				
<b>Description</b>	Network enhancements planned by CalParole may affect the CDC network redesign. Some of the BIS end users are within the Parole Division.				
<b>Trigger</b>	Completion of WAN Expansion assessment.				
<b>Action Plan</b>	Meet with ISD on a regular basis to keep apprised of network activities. Delay bandwidth assessment and analysis to ensure requirements incorporated into design.				
<b>Action Plan Updates</b>	5/5/05 Meet with the WAN TPL to discuss risk and ensure Parole Network included in assessment. KB 7/12/05 Meeting with Dennis Dearbaugh regarding multiple projects with Network impact to determine best course of action in coordinating efforts. AKR 7/18/05 Workgroup is being assembled to discuss and coordinate Infrastructure projects and needs for all departmental projects. Initial meeting scheduled 7/29/05. BIS will be in attendance. AKR				

<b>No</b>	14	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	1/1/2005	<b>Probability</b>	High	<b>Time Frame</b>	Medium
<b>Disposition</b>	Closed	<b>Risk Type</b>	Schedule Budget	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	5/2/2005
<b>Risk Statement</b>	The WAN Technical Project Lead contract needs to be awarded so that the network is stable for the BIS project to begin testing activities prior to BIS Contract Execution to prevent delays in project schedule.				
<b>Description</b>	The WAN TPL is needed to head up the effort to assess and recommend enhancements to the DCR WAN. Lead time is needed to complete these activities. BIS project needs to have the network as stable as possible to begin testing activities.				
<b>Trigger</b>	WAN Assessment Activities schedule slippage.				
<b>Action Plan</b>	Work with ISD to ensure activities track to schedule. Work with DGS to resolve issues.				
<b>Action Plan Updates</b>	5/2/05 The contract was executed and the WAN Technical Project Lead started 5/2/05.				



# RISK MANAGEMENT REPORT

<b>No</b>	15	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	2/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Closed	<b>Risk Type</b>	Budget Schedule Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	4/1/2005
<b>Risk Statement</b>	If the required end users or locations of end users change post LAN assessment, there could be a delay in schedule and a need for reassessment which would impact the budget and schedule.				
<b>Description</b>	Corrections Independent Review Panel recommendations to change the organizational structure of the department may change required end users or locations of end users.				
<b>Trigger</b>	Agency consolidation of one or more business operations occurs.				
<b>Action Plan</b>	Work with YACA to determine likelihood of major change to current infrastructure or need for plan for additional infrastructure requirements. Develop FSR to accommodate additional end users. Run parallel process until FSR is approved and executed.				
<b>Action Plan Updates</b>	<p>2/2005 - Decision was made to expand project scope to all of YACA and hence reassess the end user need. AKR</p> <p>2/2005 - 6/2005 - Telecomm expanded the LAN assessment to include the Juvenile Facilities in response to the consolidation of YACA and the need to expand the end users. AKR</p> <p>4/2005 - An SPR was initiated to address the change in project scope and impact to end users. This SPR will have to be approved by DOF prior to release of the RFP.</p> <p>7/2005 - The SPR was finalized and included the cost projections for the increase in end users.</p>				

<b>No</b>	16	<b>Assigned To</b>	Elbert Lawrence/Nancy L	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the Local Area Network communication infrastructure is not in place there could be an impact to schedule, budget and scope problems.				
<b>Description</b>	Local Area Network communication infrastructure is not in place.				
<b>Trigger</b>	LAN activities fall behind schedule. WAN activities fall behind schedule.				
<b>Action Plan</b>	Meet bi-weekly with Telecom Infrastructure project management to keep apprised of project status. Delay project. Move staff identified in FSR to locations that have connectivity; coordinate with ISD/Institutions.				
<b>Action Plan Updates</b>	<p>3/10/05 - CDC telecom infrastructure schedule underway. Need to get CYA end user location information as soon as possible to begin assessment of their facilities. KB</p> <p>5/2005 - CYA end users identified and Telecomm initiated assessment. AKR</p> <p>6/2005 - Design and Engineering costs were encumbered and activities initiated. These are planned to be completed by December 2005 with Implementation beginning in January, 2006. AKR</p>				

# RISK MANAGEMENT REPORT

<b>No</b>	17	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	8/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the RAO's have lease agreements containing clauses with respect to tenant improvements the BIS may need to pay for improvements to get connectivity to ensure BIS end users at the RAO's have access, which will impact budget.				
<b>Description</b>	The lease agreement for the RAO's may contain clauses with respect to tenant improvements. These clauses may contain language that the tenant funds building improvements. BIS may need to pay for improvements to get connectivity to BIS end users at the RAO's.				
<b>Trigger</b>	End user connectivity results in network enhancements.				
<b>Action Plan</b>	Work with the RAOs (Tim Gilpin and William Dougherty) to ensure any movement includes the funding for connectivity. Adjust project budget for such eventuality as details become clearer.				
<b>Action Plan Updates</b>					

  

<b>ID No</b>	18	<b>Assigned To</b>	Deborah Bollinger	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	12/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If operational policy issues are not resolved in a timely manner the scope budget schedule may be affected.				
<b>Description</b>	Operational policy issues cannot be resolved in a timely manner.				
<b>Trigger</b>	During implementation - Inability of CDCR specialists to be specific about underlying statutory, regulatory, policy and operational				
<b>Action Plan</b>	Hold meeting with Policy and Regulations to determine process. Get Policy and Regulations analyst assigned to project. Develop streamlined process to affect internal policy changes to CDC operations.				
<b>Action Plan Updates</b>	10/2005 - Met with Pat Boyd, Reg and Policy, to establish a relationship and initiate policy discussions. During RFP development, identified potential policy impact areas and assigned project staff to track and monitor policy. AKR				



# RISK MANAGEMENT REPORT

No	19	Assigned To	Andrea Rohmann	Risk Exposure	High
Date Identified:	12/1/2004	Probability	High	Time Frame	Long
Disposition	Open	Risk Type	Scope Budget Schedule	Risk Criticality	Low
Risk or Issue	Risk	Impact	High	Response Strategy	Watch
				Date Resolved:	
<b>Risk Statement</b>	If the CDCR does not have project team facilities available upon initiation of implementation activities scheduled to begin May 2006, delays in schedule could result as well as an increase in costs.				
<b>Description</b>	CDCR does not currently have space identified for the BIS Project Implementation Team. Implementation is scheduled to begin in May 2006 at which time the project team will grow from 13 to an estimated 100. If appropriate project space is not identified and the project team moved prior to that date, it could result in a need to delay implementation activities and hence impact the project schedule and budget.				
<b>Trigger</b>	CDC does not start working with Business Services to get 18 months lead time to obtain facilities.				
<b>Action Plan</b>	Begin facility search process as soon as funds are approved. Delay the start of the project.				
<b>Action Plan Updates</b>	12/2004 - Initial documentaiton provided to Space Management Team to initiate the space search process. AKR 6/2005 - Assessment of space needs is resulting in the push to move the BIS project to Aerojet. 7/15/2005 - Provided space needs to Belinda Wells (EIS) to include in the space plans for EIS and the need for total space at Aerojet.				

No	20	Assigned To	Andrea Rohmann	Risk Exposure	Low
Date Identified:	3/1/2004	Probability	Medium	Time Frame	Medium
Disposition	Closed	Risk Type	Quality Schedule Budget	Risk Criticality	Medium
Risk or Issue	Issue	Impact	Low	Response Strategy	Resolved
				Date Resolved:	1/1/2005
<b>Risk Statement</b>	The lack of IV&V/IPOC Oversight for Procurement could possibly result in schedule delays.				
<b>Description</b>	Lack of IV&V/IPOC Oversight for Procurement could possibly result in schedule delays				
<b>Trigger</b>	Procurement activities initiated in July 2004. Funding for IV&V and IPOC was approved to begin in January 2005.				
<b>Action Plan</b>	Work with DGS to resolve issues.				
<b>Action Plan Updates</b>	NCB approved Project Oversight Consultant on board.				

# RISK MANAGEMENT REPORT

<b>No</b>	21	<b>Assigned To</b>	Kim Brain	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	11/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Closed	<b>Risk Type</b>	Scope Budget	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	6/1/2005

<b>Risk Statement</b>	If the production environment cannot reside at the Teale Data Center, there is a potential impact to the budget.
<b>Description</b>	The department has considered the option of having the production environment internal versus having it reside at the Teale Data Center. Teale Data Center has extensive experience providing this service.
<b>Trigger</b>	The decision needs to be documented in the RFP.
<b>Action Plan</b>	Meet with TDC to obtain agreement on data center hosting services for project. Explore & determine an alternative if TDC can't accommodate CDC needs before vendor bidding occurs.
<b>Action Plan Updates</b>	6/2005 - The decision was made to house production at Teale and the RFP was written accordingly. AKR

<b>ID No</b>	22	<b>Assigned To</b>	Andrea Rohmann/TPM	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	2/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	If the Teale Data Center requires additional resources to support BIS there will be an increase to cost.
<b>Description</b>	Teale Data Center requires additional resources to support BIS.
<b>Trigger</b>	The decision needs to be documented in the post procurement SPR.
<b>Action Plan</b>	Have TDC review FSR, involve ISD in development of resource requirements. Adjust project implementation schedule to procure data center services.
<b>Action Plan Updates</b>	6/2005 - A staff assessment was initiated for implementation and on-going support and maintenance. EIS did not identify the need for more staff during implementation but does have concerns regarding on-going support and maintenance. The Post Procurement SPR will address any staffing need related to this issue. AKR



## RISK MANAGEMENT REPORT

No	23	Assigned To	Kim Brain	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Medium
Disposition	Closed	Risk Type	Scope Budget Schedule	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Resolved
				Date Resolved:	6/1/2005
Risk Statement	If the Development, training, and test environments cannot reside at ISD facility there will be an increase in cost				
Description	Development, training and test environments cannot reside at EIS facility.				
Trigger	The decision needs to be documented in the RFP.				
Action Plan	Meet with TDC on a regular basis to obtain feedback as soon as possible on data center hosting services for project. Delay project implementation pursue services from other state data centers.				
Action Plan Updates	6/2005 - Decision made to house testing and development at EIS. This decision was documented in the RFP. AKR				

ID No	24	Assigned To	Andrea Rohmann	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Scope	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	
Risk Statement	There is a potential labor negotiation issue if the Unions do not support redirections or changes in custodial and non-custodial duties in support of reengineered business processes.				
Description	There is a potential that duties will be impacted for custodial and non-custodial staff when the BIS project is implemented and business processes are reengineered. This will require discussions with Labor Relations, DPA and impacted Unions to ensure any changes to job function are accepted. (i.e. - custody inputting procurement orders). This issue was raised as a result of a meeting with Labor Relations and their concern of complaints and/or grievances.				
Trigger	Implementation and the reengineering of business processes.				
Action Plan	Early stakeholder participation. Early stakeholder communication. Manage changes through attrition. Legislatively mandated changes to redirect workload. Anticipate the issue. Develop introductory document outlining pros/cons, cost impact, employee impact, etc. Meet/confer (necessary notices). Make agreements with control agencies if necessary.				
Action Plan Updates	3/2005 - Met with Labor Relations to initiate discussion and establish a rapport. Labor Relations is currently involved in related discussion with DPA and SCO as it pertains to the SCO project.				

# RISK MANAGEMENT REPORT

No	25	Assigned To	Andrea Rohmann	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Scope	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	

Risk Statement	The automation and integration of confidential data raises a potential labor issue and will require the involvement of the Unions to resolve.
Description	Unions may not support automation of workflow process involving confidential data.
Trigger	Design, implementation and business process re-engineering.
Action Plan	Stakeholder participation. Early and ongoing Information Security Officer participation. Stakeholder communication. Document Security Requirements, be clear and get business entities agreements. Vendor rated high on this requirement. Determine must have and what we can live with. Anticipate the issue. Develop introductory document outlining pros/cons, cost impact, employee impact, etc. Meet/confer (necessary notices). Make agreements with control agencies if necessary. Follow SCO's lead regarding these efforts.
Action Plan Updates	

No	26	Assigned To	Andrea Rohman	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Scope Budget	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	

Risk Statement	There is a potential for scope and budget change if the Unions require meet and confer regarding potential savings in personnel.
Description	Unions require meet and confer regarding potential savings in personnel.
Trigger	Business process re-engineering.
Action Plan	Early stakeholder participation.
Action Plan Updates	



# RISK MANAGEMENT REPORT

No	27	Assigned To	Deborah Bollinger	Risk Exposure	High
Date Identified:	1/1/2005	Probability	High	Time Frame	Long
Disposition	Open	Risk Type	Cost, Quality	Risk Criticality	Low
Risk or Issue	Risk	Impact	Medium	Response Strategy	Watch
				Date Resolved:	

**Risk Statement** If the Department is not able to dedicate the needed resources (SMEs) to the BIS effort during implementation, there is a potential for cost increase and an impact to the quality of the end product.

**Description** The department had multiple competing strategic efforts as a result of the current reorganization. If staff have difficulty absorbing the amount of change the department is currently undergoing (i.e., Human Resources staff involved in the Agency Consolidation HR Operational Assessment, HRIS, the 21st Century (SCO) project, and the BIS project) this may result in a lack of attention to the BIS Project needs. BIS has raised the issue of resource contention and continues to monitor.

**Trigger** Implementation and business process re-engineering.

**Action Plan** Involve stakeholders and end users in analysis and design phases. Provide sufficient and appropriate training for users. Ongoing communications. Keep management advised of upcoming activities and resource needs (detailed timelines). Elevate issues to Executive Steering Committee (ESC) for their involvement in the resolution. Hold focus groups with employees identifying/raising issues to resolve. Follow the Communications Plan.

**Action Plan Updates** Continue to track consolidation initiatives.  
Effective 2/2005, the BIS Change Management and Policy Manager was assigned as the liaison to the 21st Century project enabling BIS to provide information SCO requires that has already been developed through the BIS project effort.  
6/2005 - Advised ESC of planned RFP Evaluation activities and proposed timeline of resource need.  
8/2005 - Scheduling Town Hall meetings with Field and HQ staff to be held in September.  
8/8/2005 - Advised Support Services Managers of upcoming Town Hall Meetings.

ID No	28	Assigned To	Deborah Bollinger	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Scope Budget Schedule	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	

**Risk Statement** If the processes that are currently being performed by inmates are automated and inmates are not allowed to use the BIS system to perform these functions, there will be an impact to staff workload, which will increase the potential for resistance to change and potentially impact the success of implementation.

**Description** Inmates perform some of the tasks that are planned to be automated within the Institutions (i.e., warehouse). Automation of processes could impact the utilization of inmates as their continued involvement could jeopardize security of information. This could increase staff workload and hence could impact staff's resistance to change. Additionally, this would result in the elimination of an inmate work assignment, which would result in fewer inmates receiving work credit.

**Trigger** Solution implementation and related process re-engineering activities.

**Action Plan** Identify policy related to inmate assignments and security of data.  
Work with Institutions, Policy and EIS to revise and standardize as needed.  
Involve SMEs in development, implementation and process re-engineering to ensure buy-in.

**Action Plan Updates**

# RISK MANAGEMENT REPORT

<b>No</b>	29	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	10/1/2004	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Schedule Budget	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	There will be an increase in budget and a delay in implementation of an ERP solution if vendors protest contract award.				
<b>Description</b>	Possible vendor protest to ERP solution award.				
<b>Trigger</b>	RFP evaluation process during which vendors can present concerns with RFP.				
<b>Action Plan</b>	Work with DGS to resolve issues.				
<b>Action Plan Updates</b>	7/29/05 - Requested the review of our RFP and then met with two Legal advisors from DSS and DCSS who have experience with high profile IT RFPs to discuss lessons learned and potential concerns with RFP language.				

<b>ID No</b>	30	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	10/1/2004	<b>Probability</b>	High	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Scope Budget Schedule	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	Project delays could occur if BIS does not have staff in place and contract resources approved when needed.				
<b>Description</b>	CDCR does not have project team resources in place and ready to go when the vendor starts.				
<b>Trigger</b>	Award of RFP contract.				
<b>Action Plan</b>	Develop and follow Staffing Management Plan. Initiate personnel (DPA) review process for each phase 9 months prior to establish dates. Initiate personnel paperwork 3 months prior to establish dates. Coordinate and schedule interviews 2 months in advance of start dates.				
<b>Action Plan Updates</b>	6/2004 - Received approval from DPA for Procurement Phase staffing. 11/2004 - Initiated CEA position development approval process. 11/2004 - Developed Staffing Management Plan 7/2004 - Began Implementation Phase staffing analysis.				



## RISK MANAGEMENT REPORT

No	131	Assigned To	Kim Brain	Risk Exposure	Low
Date Identified:	10/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Scope Budget Schedule	Risk Criticality	Low
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	
Risk Statement	Scope and budget could be delayed if AISA are not available for testing print capabilities and to install software on client PCs.				
Description	EIS (formally ISD) has multiple strategic efforts underway. Availability of AISAs or related staff resources needed for testing print capabilities and to install software on client PCs at the Institutions and HQ could be limited.				
Trigger	Implementation				
Action Plan	Involve management in discussions and advise of resource impact/need. Provide staff training to ensure end-user needs are met to maintain software installation and testing capabilities. Contract for services if internally not available.				
Action Plan Updates	7/28/2005 - Presented at the Annual IT Training Seminar to all AISAs - educated on the BIS Project, field support need and resource availability.				

# RISK MANAGEMENT REPORT

No	32	Assigned To	Andrea Rohmann	Risk Exposure	Medium
Date Identified:	3/1/2005	Probability	Medium	Time Frame	Short
Disposition	Open	Risk Type	Scope Budget Schedule	Risk Criticality	Low
Risk or Issue	Risk	Impact	Medium	Response Strategy	Mitigate
				Date Resolved:	

**Risk Statement** If full funding for the implementation of the ERP is not provided this could result in scope, budget and schedule problems.

**Description** The FSR provided the initial anticipated funding for the ERP based on point in time data. Costs are anticipated to be greater than originally planned in the FSR. Additionally, changes have occurred in implementation strategies, LAN/WAN needs, and end user numbers have increased. If the ERP is not fully funded for the implementation, the scope, budget and schedule might be affected. This was planned to be addressed in the Post Procurement SPR. However, per DOF direction, funding needs as a result of LAN/WAN, end user increases, implementation strategy and financing plan are being addressed in the Fall BCP process with the procurement SPR.

**Trigger** Procurement Fall BCP decisions; if approved - risk is resolved, if denied risk is triggered.

**Action Plan** Notify control agencies of potential cost impacts upon discovery.  
Involve control agency in Procurement SPR development process.  
Clearly identify cost impacts and the availability of internal resource redirections.  
Work with departmental management (EIS, Finance, etc.) to develop resource strategies.

**Action Plan Updates**  
7/8/05 - Phone discussion with DOF regarding WAN/LAN cost issues and RFP SPR.  
8/2005 - Submit RFP SPR to DOF for approval.  
8/29/05 - Discussion with Andrew Chang - DGS, indicated RFP release November 2005.  
8/31/05 - Met with DOF regarding their review of the RFP/SPR - agreed to submit BCP in Fall process to reconcile funding need for LAN/WAN and end user increases.  
8/31/05 - UPM briefed Exec. Sponsor (M. Genest) regarding DOF discussion.  
9/1/05 - UPM met with BIS Team and identified and assigned needed tasks to complete BCP as required by DOF and update SPR and RFP accordingly.  
9/1/05 - Met with EIS Mgmt - briefed on issues.  
9/1/05 - Exec. Sponsor contacted DOF (Anne Sheehan and Fred Klass) regarding need to coordinate DOF and DGS activities to keep BIS on schedule.

ID No	33	Assigned To	Kim Brain	Risk Exposure	Medium
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Schedule, Budget	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Research
				Date Resolved:	

**Risk Statement** If the data currently being captured has to be archived because data conversion does not capture complete data files or "dirty data" not able to transfer to new system will cause schedule problems and time delays.

**Description** Data currently being captured may have to be archived because data conversion does not capture complete data files or "dirty data" not able to transfer to new system.

**Trigger** RFP Vendor Evaluation Process may identify conversion issues.

**Action Plan** Work with EIS/Divisions/Institutions to resolve issues and/or storage retrieval.

**Action Plan Updates** Worked with SMEs to identify conversion needs during RFP development.  
Documented conversion needs in RFP.



# RISK MANAGEMENT REPORT

No	34	Assigned To	Andrea Rohmann	Risk Exposure	Medium
Date Identified:	2/1/2005	Probability	Low	Time Frame	Long
Disposition	Open	Risk Type	Schedule	Risk Criticality	Medium
Risk or Issue	Issue	Impact	High	Response Strategy	Mitigate
				Date Resolved:	

**Risk Statement** Vendor Financing Strategy is not known and will not be determined until post procurement, which could potentially impact cost.

**Description** The DOF and DGS are not in agreement regarding the financing strategy State projects should follow. The DOF is proposing the BIS project utilize a vendor financing strategy and the DGS is proposing the BIS project utilize GS \$mart financing program. The Control Agencies need to agree on the financing strategy so that the BIS project can complete the ITPP and RFP documents. The ITPP needs to be reviewed and approved by DGS and is requiring the project to outline the financing strategy to be used. The RFP is reviewed and approved by the DOF and needs to provide the financing requirements of the project. KB Until the actual strategy is known, BIS cannot adequately determine cost impact. As a result, the cost strategy included in the FSR and being revised in the SPR/BCP may not have enough funding built into the project fund approval.

**Trigger** RFP release delayed until resolution

**Action Plan**  
 Raise issue to Project Sponsor.  
 Hold meeting with DOF and DGS to get resolved.  
 Delay release of RFP.  
 Vendor financing is not a required funding source; merely an option. The BIS Project will explore this option if DOF is requiring it; however the project will not likely use this option if the interest rate proposed by vendors is not reasonable.

**Action Plan Updates**  
 2/24/05 Meeting held with DOF and issue raised. DOF agreed to meet with DGS to get issue resolved. Colleen Kashiwaga received action item to work with Mary Smith to set meeting up. KB  
 3/1/05 Colleen sent email to DGS requesting representative to participate in meeting. KB  
 3/3/05 DOF reported to Colleen that issue affects SCO project as well. Mary Smith from DOF is raising this issue to her management to obtain resolution. KB  
 3/7/05 Kim sent Colleen date by which BIS needs to get resolution before project is affected. KB  
 DOF has requested the BIS project include vendor financing option to obtain research and allow DOF to determine best course of action.  
 July 11, 2005 - ITPP was approved - vendor financing will remain an aspect until post procurement.  
 RFP was revised to include this option as an effort to mitigate impact to project.  
 The SPR and BCP are being developed to recognize a change in financing strategy from the original approved FSR (rolling impact on project costs, versus not until final approval of full implementation).  
 9/1/05 - The interest rate being utilized to project financing costs is aligned with DGS GS \$Mart rates.

# RISK MANAGEMENT REPORT

No	35	Assigned To	Andrea Rohmann	Risk Exposure	High
Date Identified:	1/19/2005	Probability	High	Time Frame	Medium
Disposition	Closed	Risk Type	Schedule, Budget	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Resolved
				Date Resolved:	8/1/2005
Risk Statement	Assistant Project Manager Resource is not available 3/1/05				
Description	On January 19, 2005, the BIS TPM requested an additional contract resource be brought in to address the scope increase to the BIS project to include an Agency-wide implementation. The plan was to have the contracted resource develop the Special Project Report starting March 1, 2005, so that it could be completed by June 30, 2005. The BIS project developed the Statement of Work for this position. This contract has not been executed, and is still being reviewed by CDC contracts. After their review, it will then need be sent to DGS				
Trigger	3/1/05				
Action Plan	Meet with DCR contracts unit to stress urgency of getting this resource in place. Expedite development of the Statement of Work.				
Action Plan Updates	<p>1/28/05 The BIS UPM developed the SOW and it was sent to the DCR Contracts unit. KB</p> <p>3/3/05 TPM inquired as to status of the contract. It is still sitting in the contracts unit. KB</p> <p>4/28/05 NCB sent to DGS for review.</p> <p>BIS core team plans to hire a contract analyst to better track contracting documents.</p> <p>5/3/05 DGS submitted questions; DCR responded.</p> <p>5/31/05 BIS Core team hired two and one parttime analyst to prepare the SPR and distribute risk, budget management and policy activities that would have been handled by this resource. KB</p> <p>8/31/05 - DOF changed strategies and is requiring the submittal of a BCP with the procurement SPR and requiring the BIS realign and baseline the project for the EAWs. This must be completed within two weeks. Due to delays in approval of this contract, the Asst. TPM has not been hired and therefore it is no longer needed as the rebaselining will be completed. Additionally internal staff resources were used to develop the budget tracking system, revise the Charter, and conduct GAP analysis of new CDCR.</p>				

ID No	36	Assigned To	Kim Brain	Risk Exposure	Low
Date Identified:	2/1/2005	Probability	Low	Time Frame	Long
Disposition	Open	Risk Type	Quality	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Watch
				Date Resolved:	
Risk Statement	Desktop Client for ERP				
Description	Marimba software is used to push updates patches, plug-ins, etc to workstation PCs as needed. If the ERP solution uses a thick client and will need updates, patches, or plug-ins to be applied sometime after the initial installation, Carol's group would like to know. - Carol Avansino				
Trigger	Bis will become aware of vendors proposed solution during procurement.				
Action Plan	Work with ISD to resolve issue. BIS should be prepared to notify EIS.				
Action Plan Updates					



# RISK MANAGEMENT REPORT

No	37	Assigned To	Kim Brain	Risk Exposure	Low
Date Identified:	2/1/2005	Probability	Low	Time Frame	Long
Disposition	Open	Risk Type	Quality	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Low	Response Strategy	Watch
				Date Resolved:	
Risk Statement	ERP Desktop Solution				
Description	If a browser thin client is picked for the ERP solution, it still may need plug-in and ActiveX updates pushed to it. Carol's group will also have to be involved if this is the case, so the updates can be handled remotely and not physically at each workstation. - Carol Avansino				
Trigger	Procurement of Software				
Action Plan	Work with ISD to resolve issue.				
Action Plan Updates					

ID No	38	Assigned To	Sam St. Cyr	Risk Exposure	Medium
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Medium
Disposition	Open	Risk Type	Schedule Budget	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Watch
				Date Resolved:	
Risk Statement	If Active Directory is not in place upon implementation, it will impact the project schedule and cost.				
Description	Active Directory (AD) development is currently underway. This project is being managed through Carol Avansino. The BIS solution is dependent on this capability as it is built into the technical requirements being provided to the vendors via the RFP. If the AD is not accessible upon implementation, it will require the project integrators to develop/utilize an alternate security model which has not been costed or planned.				
Trigger	Testing of the RFP solution.				
Action Plan	Work with ISD to track progress and manage project timeline.				
Action Plan Updates	<p>3/3/05 Carol Avansino to send Kim Brain Active Directory Deployment schedule. KB</p> <p>7/28/05 EIS provided update on AD status at the annual IT Coordinators Training. AKR</p> <p>8/2/05 Discussed importance of AD to BIS project implementation at monthly PMR meeting with Joe Panora and Merle Ward. Agreed to include as PMR risk for monthly reporting. AKR</p> <p>9/2/05 - UPM meeting with Brian Gangler (EIS) to establish a project management work group to coordinate these efforts.</p> <p>9/15/05 - Carol Avansino discussed progress of Active Directory at IT Infrastructure meeting. Carol Avansino said Active Directory is 20% complete but still needs more funding (\$1 million). BIS will try to provide/transfer required funds.</p>				

# RISK MANAGEMENT REPORT

<b>No</b>	39	<b>Assigned To</b>	Sam St. Cyr	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	8/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	The anticipated load to the server and proxy will impact the Department's ability to respond to end user activity and hence impact the usability (quality) of the BIS solution.
<b>Description</b>	The Department currently has limited servers and only one proxy (ISA/PRISM) and there is concern that the load that BIS will drive may exceed the capacity of the current proxy.
<b>Trigger</b>	Testing of the solution.
<b>Action Plan</b>	Discuss the potential of this with Carol Avansino. Identify alternatives in the event the proxy could not handle the load. (i.e. bypassing - consider making it local network traffic).
<b>Action Plan Updates</b>	9/2/05 - BIS Team meeting with Carol Avansino to discuss this issue and estimate impact. BIS met with EIS to discuss possibility of by passing proxy.

<b>ID No</b>	40	<b>Assigned To</b>	Sam St. Cyr	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Schedule Budget	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	If the Data Center Consolidation falls behind schedule, it will impact the implementation schedule and drive additional costs.
<b>Description</b>	As part of the reorganization and formation of CDCR, CDC and CYA are consolidating their data centers. This must be completed prior to the development and testing of the solution. If this is not in place, the solution may not be able to coordinate efforts with all YA operations and will result in a delay in schedule and increase costs.
<b>Trigger</b>	Initiation of implementation activities - August 1, 2006.
<b>Action Plan</b>	Work with ISD to resolve issue.
<b>Action Plan Updates</b>	3/10/05 Schedule requested. Kim Brain to track with Elbert Lawrence on these milestones. KB 09/19/05 - EIS Julie Williams sent e-mail to BIS project which states that the target date for completion is 12/2005



## RISK MANAGEMENT REPORT

<b>No</b>	41	<b>Assigned To</b>	Kim Brain	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	Long
<b>Disposition</b>	Closed	<b>Risk Type</b>	Quality	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	6/1/2005

<b>Risk Statement</b>	WAN Enhancements - CYA
<b>Description</b>	As a result of a lawsuit, CYA was ordered by a judge to allow hospitals access to medical records. - Larry Smith
<b>Trigger</b>	ERP Implementation
<b>Action Plan</b>	Work with CYA to resolve issue
<b>Action Plan Updates</b>	BIS has explained to vendors that WAN will be a moving target and will not affect BIS project.

<b>ID No</b>	42	<b>Assigned To</b>	Kim Brain	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	Medium
<b>Position</b>	Open	<b>Risk Type</b>	Quality Schedule Budget	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	CYA Infrastructure Migration project (from Mac to Intel)
<b>Description</b>	CYA Infrastructure Migration project (from Mac to Intel) - Liana
<b>Trigger</b>	RFP Release
<b>Action Plan</b>	Meet with CYA project manager to track the completion of this project.
<b>Action Plan Updates</b>	03/05 - CYA is 70% completed, and should be 100% complete by 12/05.

# RISK MANAGEMENT REPORT

<b>No</b>	43	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>		<b>Time Frame</b>	
<b>Disposition</b>	Duplicate	<b>Risk Type</b>		<b>Risk Criticality</b>	
<b>Risk or Issue</b>	Risk	<b>Impact</b>		<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	Duplicate (see ID # 15) End User Moves
<b>Description</b>	At the Technology Roundtable meeting of 3-3-05, the group discussed the departmental moves and assumes that the physical network connectivity will be addressed with the move project.
<b>Trigger</b>	(Duplicate)
<b>Action Plan</b>	(Duplicate)
<b>Action Plan Updates</b>	(Duplicate)

<b>ID No</b>	44	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	1/20/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	open	<b>Risk Type</b>		<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	Data Ownership
<b>Description</b>	Data ownership will affect the implementation of the BIS project. In particular the 21st Century and BIS project have overlaps. Who (SCO, CDC) owns time collection? Who owns which system, what interfaces are needed, etc. (Lack of) need for CalSTRS piece.
<b>Trigger</b>	
<b>Action Plan</b>	Work closely with control agencies (SCO, DOF, FTB, DGS) to resolve these issues.
<b>Action Plan Updates</b>	9/27/05 Met with SCO, Dept of Water Resources, DOF, Clark Kelso to discuss the standardizing the chart of accounts.



# RISK MANAGEMENT REPORT

<b>No</b>	45	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Closed	<b>Risk Type</b>		<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Issue	<b>Impact</b>	Medium	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	3/1/2005

<b>Risk Statement</b>	Scheduling Requirement may not be available in ERP solution.
<b>Description</b>	Scheduling is required functionality but requirements may be beyond typical ERP functionality
<b>Trigger</b>	RFP responses from vendors will indicate proposed solution.
<b>Action Plan</b>	Discuss issue with ERP vendors/ customers to determine whether or not subject functionality is available.
<b>Action Plan Updates</b>	BIS project researched issue and determined that scheduling is part of the ERP functionality.

<b>ID No</b>	46	<b>Assigned To</b>	Andrea Rohman	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	long
<b>Position</b>	Open	<b>Risk Type</b>	Budget Scope Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	

<b>Risk Statement</b>	Phase Two
<b>Description</b>	How to handle Facilities, Business, and Risk requirements not yet resolved. Might be sent out as an addendum. If these requirements represent non-ERP systems functionalities.
<b>Trigger</b>	When BIS prepares to implement Phase 2.
<b>Action Plan</b>	Develop scope from Phase 2. Research through Consultants, Vendors, ERP customers, ERP community.
<b>Action Plan Updates</b>	

# RISK MANAGEMENT REPORT

<b>No</b>	47	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	long
<b>Disposition</b>	Closed	<b>Risk Type</b>	Scope	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Issue	<b>Impact</b>	Low	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	3/1/2005

**Risk Statement** Internal Affairs Requirements may not be part of ERP solution.

**Description** Interface with Internal Affairs needs to be more fully explored.

**Trigger**

**Action Plan**

**Action Plan Updates** Research by BIS Project Team and disucssions with ERP vendors, consultants indicate that case management not and ERP function and is out the scope.

<b>ID No</b>	48	<b>Assigned To</b>	Kim Brain	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	6/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	

**Risk Statement** BIS Help Desk

**Description** A lack of resources in EIS may preclude the Project from getting the necessary resources to monitor the help desk.

**Trigger** ERP Implementation

**Action Plan** Work with ISD to resolve issue.

**Action Plan Updates**



# RISK MANAGEMENT REPORT

<b>No</b>	49	<b>Assigned To</b>	Nancy Lowe	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	4/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	medium
<b>Disposition</b>	Open	<b>Risk Type</b>	schedule budget quality scope	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Mitigate
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	End User Wiring				
<b>Description</b>	Folsom, San Quentin, CIM and CIW may have historical value, meaning that we may not be allowed to trench for the cabling. Folsom also has the solid granite walls, which makes it harder to run cabling.				
<b>Trigger</b>	Infrastructure must be in place by ERP Implementation				
<b>Action Plan</b>	Work with Telecom/ISD to resolve issue.				
<b>Action Plan Updates</b>	9/05 Telecom (Nancy Lowe) has agreed to coordinate wiring/infrastructure according to BIS project implementation schedule.				

<b>ID No</b>	50	<b>Assigned To</b>	Kim	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	4/1/2005	<b>Probability</b>	High	<b>Time Frame</b>	Short
<b>Disposition</b>	Closed	<b>Risk Type</b>	Schedule, Cost	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Issue	<b>Impact</b>	Medium	<b>Response Strategy</b>	Accept
				<b>Date Resolved:</b>	6/1/2005
<b>Risk Statement</b>	No Slack in the Project Schedule				
<b>Description</b>	The BIS procurement schedule was revised to make up the 3 month loss due to project vacancies that occurred from May 2004 to the present time. There is no more slack in the BIS procurement schedule.				
<b>Trigger</b>	Any RFQI or RFP project activity is past due;				
<b>Action Plan</b>	The TPM has reported this risk to the Project Sponsor and UPM; the TPM and Change Management Lead hold one-on-one meetings with the BIS team members and are tracking project activities.				
<b>Action Plan Updates</b>	4/28/05 Gartner has brought templates and requirements that is enabling the BIS core team to close the gap in project activity completion. KB 6/16/05 RFP delivered to DGS and DOF. Short review turnaround requested. KB 6/22/05 DGS will not assign an analyst until the second week in July. Schedule will slip. KB				

# RISK MANAGEMENT REPORT

<b>No</b>	51	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	3/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Budget, Schedule, Quality, Scope	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Watch
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	Procurement				
<b>Description</b>	If only two vendors submit draft proposals, have a risk that one could drop out, e.g., refusing to sign up to state's mandated T&Cs. This was an issue with the SCO 21st Century Project.				
<b>Trigger</b>	If only two vendors submit draft proposals on due date.				
<b>Action Plan</b>	Work with DGS to resolve issue.				
<b>Action Plan Updates</b>	07/2005 - DGS placed Active Directory in contracts register to gauge response; Vendors responded 1st Day.				

<b>ID No</b>	52	<b>Assigned To</b>	Jeff Baldo	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	4/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	short
<b>Disposition</b>	Open	<b>Risk Type</b>	Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Mitigate
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	Need EIS involvement in the Project				
<b>Description</b>	Participation in the Tech Roundtable and involving EIS in the requirements discussions has been difficult. Need to get their input and buy-in into this solution and the support there of.				
<b>Trigger</b>	If project proceeds without EIS involvement.				
<b>Action Plan</b>	Continue the monthly technology roundtable meetings at ISD and encourage participation. Meeting held with Bob Horel and Jeff Baldo to discuss participation.				
<b>Action Plan Updates</b>	<ul style="list-style-type: none"> <li>- Jeff Baldo EIS recognizes importance of BIS and has been very supportive.</li> <li>- IT roundtable (Merle Ward) expanded to include other projects.</li> </ul>				



## RISK MANAGEMENT REPORT

No	53	Assigned To	Deborah Bollinger	Risk Exposure	High
Date Identified:	4/1/2005	Probability	High	Time Frame	short
Disposition	Closed	Risk Type	Schedule, cost	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Resolved
				Date Resolved:	5/1/2005
Risk Statement	Institution End user list not complete on time				
Description	1st Draft of standard list of end users for all Institutions complete; Action Items in process.				
Trigger	Deliverable not complete when the Telecom Branch needs to finalize their plans and engage the services of the Telecom Branch				
Action Plan	Delay the start of the Telecom Branch contractor until the list is finalized; continue to work with the Institutions Division to finalize the list; work with a few Institutions to develop the final draft to shorten the time to finalize the list.				
Action Plan Updates					

ID No	54	Assigned To	Nancy Lowe	Risk Exposure	High
Date Identified:	4/1/2005	Probability	Medium	Time Frame	long
Disposition	Duplicate	Risk Type	Schedule Budget	Risk Criticality	Medium
Risk or Issue	Issue	Impact	High	Response Strategy	Mitigate
				Date Resolved:	
Risk Statement	Duplicate (see # 49) Geography of local Institutions sites do not allow for trenching of LAN.				
Description	Old Folsom site has granite rock. This rock may affect the design of the LAN for potential BIS end users at that site.				
Trigger					
Action Plan	(duplicate, see #49)				
Action Plan Updates					

## RISK MANAGEMENT REPORT

No	55	Assigned To	Andrea Rohmann	Risk Exposure	High
Date Identified:	1/1/2005	Probability	Medium	Time Frame	Short
Disposition	Closed	Risk Type	Schedule, Budget and Scope	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Resolved
				Date Resolved:	5/1/2005

**Risk Statement** LAN Design and Engineering Contract not Executable

**Description** BIS planned for LAN design and engineering to begin in January, 2005. Telecom AISA has readied 10 Institution sites for engineering. The project is unable to begin design and engineering because the \$264,000 encumbered last FY was utilized by Telecom for another project, and the current contract is out of money.

Telecom prepared an NCB to get approval to spent more money against the current Telecom contract and the \$264,000 was included in that NCB. DGS did not approve the department's request for the NCB.

**Trigger**

**Action Plan**

**Action Plan Updates** 4/28/05 TPM met with Telecom Branch. Telecom branch has resolved this issue and will begin engineering and design in May. KB

No	56	Assigned To	Kim Brain	Risk Exposure	Medium
Date Identified:	4/1/2005	Probability	Medium	Time Frame	long
Disposition	Open	Risk Type	Quality	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Research
				Date Resolved:	

**Risk Statement** System coherency

**Description** If CDC maintains the development, testing, training and TDC is production, TDC and DCR must coordinate patches, upgrades, and other updates to the system (hardware and software).

**Trigger** ERP implementation

**Action Plan** Work with ISD to resolve issue.

**Action Plan Updates**



## RISK MANAGEMENT REPORT

No	57	Assigned To	Dennis Dearbaugh	Risk Exposure	High
Date Identified:	4/1/2005	Probability	High	Time Frame	medium
Disposition	open	Risk Type	Budget	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Research
				Date Resolved:	
Risk Statement	Data center power issue				
Description	If the ERP development, testing, and training environment reside at CDCR, additional "white floor" power requirements will need to be considered				
Trigger	ERP Implementation				
Action Plan	Work with EIS, Telecom to ensure that the proper infrastructure is in place prior to implementation.				
Action Plan Updates					

ID No	58	Assigned To	Dennis Dearbaugh	Risk Exposure	Medium
Date Identified:	4/15/2005	Probability	Low	Time Frame	long
Disposition	open	Risk Type	Quality	Risk Criticality	Medium
Risk or Issue	Issue	Impact	Medium	Response Strategy	Watch
				Date Resolved:	
Risk Statement	Unless things change, the BIS will reside at DTS (formerly Teale). As End User begin to encounter problems and report trouble with the BIS, they will report these troubles to either DTS or CDCR as "trouble tickets". DTS and CDCR should be able to share/coordinate these trouble tickets on the same system in order to provide the end users with an acceptable level of service.				
Description	DTS and CDCR EIS are currently running the same software "REMEDY" to address trouble tickets; however, CDCR must change their current configuration to allow "sharing" with DTS.				
Trigger	CDCR must configure their REMEDY system to allow sharing with DTS prior to the BIS implementation.				
Action Plan	Work with EIS to resolve issue.				
Action Plan Updates	5/05 BIS (Sam) spoke with EIS (Belinda Wells/Wesley Odd) to determine the feasibility of making the subject configuration changes to their software. EIS states that these changes are on their "wish list"; however, other CDCR priorities are talking precedent.				

## RISK MANAGEMENT REPORT

No	59	Assigned To	Kim Brain	Risk Exposure	Low
Date Identified:	1/1/2005	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Quality	Risk Criticality	Low
Risk or Issue	Issue	Impact	Medium	Response Strategy	Watch
				Date Resolved:	

Risk Statement	Technical Staff Training
Description	Current DBA, development staff have had little to no training for the last 4 to 5 years; additional training above the norm may be required.
Trigger	
Action Plan	Work with ISD to resolve issue.
Action Plan Updates	Vendor will propose training strategies

ID No	60	Assigned To	Elbert Lawrence	Risk Exposure	High
Date Identified:	4/15/2005	Probability	Medium	Time Frame	long
Disposition	Duplicate	Risk Type		Risk Criticality	Medium
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	

Risk Statement	Duplicate (see ID # 49) Facility issues affecting network upgrades
Description	It may be difficult to pull CAT 3 wire out to upgrade the network without affecting the Youth Authority facility structure.
Trigger	
Action Plan	Work with Telecom/ISD to resolve issue.
Action Plan Updates	



# RISK MANAGEMENT REPORT

No	61	Assigned To	Sam St. Cyr	Risk Exposure	Medium
Date Identified:	4/15/2005	Probability	Low	Time Frame	Long
Disposition	Duplicate	Risk Type	Schedule Budget	Risk Criticality	Low
Risk or Issue	Issue	Impact	High	Response Strategy	Watch
				Date Resolved:	

**Risk Statement** Duplicate (see ID #38)  
If the networks for both Adult and Juvenile are not consolidated, it will create complexities in the implementation of the solution which could impact cost and schedule.

**Description** The Adult and Juvenile systems currently support different networks. These networks do not communicate and therefore need to be consolidated into either one or a patch between the two. The BIS RFP requirements present the potential for either a single or dual systems. However, if this is not determined prior to development, it will impact cost and schedule.

**Trigger** Development of solution.

**Action Plan** Coordinate with EIS to determine plan.  
Identify options.  
Update BIS Web page for vendor information as available.

**Action Plan Updates**

No	62	Assigned To	Sam St. Cyr	Risk Exposure	High
Date Identified:	4/15/2005	Probability	Medium	Time Frame	Medium
Disposition	Open	Risk Type	Quality Schedule Cost	Risk Criticality	High
Risk or Issue	Issue	Impact	High	Response Strategy	Mitigate
				Date Resolved:	

**Risk Statement** The disaster recovery plan is not yet determined, which impacts network bandwidth. If the disaster recovery plan is not communicated to the vendor during the RFP process, it could impact the quality, cost and schedule, as it will impact the load to the bandwidth between DTS and CDCR.

**Description** Data Recovery - Network bandwidth may be an issue between Department of Technology Services (DTS) and CDCR data center. This is problematic because of the unknown status of the disaster recovery warm site. Depending on the location of the warm site, it could impact the load to the bandwidth if it is housed at CDCR data center. This is also contingent upon the extent of the data that is needed on the warm site versus strictly DTS.  
Additionally, if this is not defined for the vendor, it could result in the vendor not being responsible for the solutions data recovery viability (i.e., it could work at DTS but not at CDCR).

**Trigger** RFP evaluation process.

**Action Plan** Identify players to coordinate resolution.  
Work with EIS and DTS to determine warm site location.  
Communicate resolution to vendors via the BIS Webpage.

**Action Plan Updates**

# RISK MANAGEMENT REPORT

<b>No</b>	63	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	4/15/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Long
<b>Disposition</b>	Open	<b>Risk Type</b>	Schedule Budget Quality	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Mitigate
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If additional resources are not identified and made available during development, testing, training, and on-going support, it could impact the schedule, cost, and quality of the solution.				
<b>Description</b>	Enterprise Administration, Network Services and Application Support Unit currently do not have the resources to support the workload created by the ERP test, development, and training environments. For the development, testing and training phase, some of the resources needed were included in the FSR as PYs. However, some of the support will have to be made available as Subject Matter Experts. Additional concern has been raised regarding the level of support provided in the FSR. Specifically, that the FSR did not identify the needed resources for on-going support and maintenance.				
<b>Trigger</b>	Post Procurement SPR and Spring Finance Letter.				
<b>Action Plan</b>	Work with EIS to identify needed resources. Work with HR to establish and fill new positions. Identify availability of SMEs. Identify true support staff need, working with EIS to determine. Include any additional need in the post procurement SPR and Spring Finance Letter.				
<b>Action Plan dates</b>	8/2005 - BIS is developing duty statements and working with HR to establish and fill timely. AKR 8/19/2005 - Briefed EIS management on the plan to begin identifying the need for on-going support staff in the next 4 months. AKR				

<b>ID No</b>	64	<b>Assigned To</b>	Renee Nunes	<b>Risk Exposure</b>	Medium
<b>Date Identified:</b>	6/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Medium
<b>Disposition</b>	Open	<b>Risk Type</b>	Budget	<b>Risk Criticality</b>	Medium
<b>Risk or Issue</b>	Risk	<b>Impact</b>	Medium	<b>Response Strategy</b>	Accept
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the WAN contract amendment to include the Agency-wide Implementation results in the contract being over the CDCR's delegation, it could impact budget and schedule.				
<b>Description</b>	The WAN Technical Project lead contract was awarded in May. Effective July 1, 2005, CDC became CDCR and as such the scope of this contract needs to be amended to include YA in addition to CDC. This amendment may result in the need for additional funds.				
<b>Trigger</b>	Consolidation to CDCR.				
<b>Action Plan</b>	Identify scope impact. Identify cost impact. Identify fund availability. Prepare NCB.				
<b>Action Plan dates</b>	7/7/2005 - Initiated discussion with EIS regarding the potential need for an amendment to the contract. 7/2005 - Larry Angus and Diana LaBonte reviewed the scope and impact and prepared a cost analysis. AKR 8/2/2005 - Diana LaBonte, et al, presented the scope and cost impact data and requested assistance in the preparation of an NCB. AKR 8/22/2005 - BIS began efforts to develop NCB and identify funds. AKR				



## RISK MANAGEMENT REPORT

<b>No</b>	65	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	4/1/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	Short
<b>Disposition</b>	Closed	<b>Risk Type</b>	Schedule Budget	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Issue	<b>Impact</b>	High	<b>Response Strategy</b>	Resolved
				<b>Date Resolved:</b>	7/1/2005
<b>Risk Statement</b>	If the ITPP is not approved in a timely manner it could impact the release of the RFP as the RFP cannot be release until the ITPP is approved.				
<b>Description</b>	DGS has typically taken two to three months to provide feedback to the project on previous versions of the ITPP. As the project approaches the release of the RFP, approval of the ITPP becomes even more important as the project will not be able to release the RFP without approval of the ITPP.				
<b>Trigger</b>	Release of RFP				
<b>Action Plan</b>	Identify contact at DGS. Coordinate activities with DGS. Work with DGS to resolve issues and receive approval.				
<b>Action Plan Updates</b>	4/12/05 Raised to the Executive Sponsor. 4/19/05 Executive Sponsor contacted DGS to expedite review of the ITPP. KB 5/2005 Follow-up with DGS and provided final of all requested changes. AKR 6/6/05 Contacted DGS for follow-up, requested to provide a new copy of the ITPP. AKR 6/29/05 New DGS analyst assigned; requested follow-up on ITPP to determine status. AKR 7/11/05 ITPP approved by DGS.				

<b>ID No</b>	66	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	Low
<b>Date Identified:</b>	4/1/2005	<b>Probability</b>	Low	<b>Time Frame</b>	Medium
<b>Disposition</b>	Open	<b>Risk Type</b>	Budget	<b>Risk Criticality</b>	Low
<b>Risk or Issue</b>	Issue	<b>Impact</b>	Medium	<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the pilot ECS is not the accepted platform for their SCIF processing, BIS would have to build multiple interfaces their existing systems, which would drive more costs than if we just build the one.				
<b>Description</b>	The planned interface to SCIF is dependent on the success of their pilot Electronic Claim System (ECS). This system consolidates two standalone database systems into one integrated system. These systems manage the data for all SCIF filings and payments.				
<b>Trigger</b>	Design and development.				
<b>Action Plan</b>	Coordinate with CDCR Health and Safety and SCIF in defining the interfaces. Contact SCIF to identify their existing and pilot systems. Monitor success of pilot program.				
<b>Action Plan tates</b>	4/2005 Contacted Health and Safety and SCIF to identify interfaces and requirements. AKR 5/2005 Identified pilot project existence. AKR~ 6/2005 Determined how to interface to their existing and are awaiting additional details to determine pilot system outcome. AKR				

# RISK MANAGEMENT REPORT

No	67	Assigned To	Andrea Rohmann/Nancy	Risk Exposure	High
Date Identified:	5/1/2005	Probability	Medium	Time Frame	Short
Disposition	Closed	Risk Type	Schedule, budget	Risk Criticality	High
Risk or Issue	Risk	Impact	High	Response Strategy	Resolved
				Date Resolved:	5/24/2005

**Risk Statement** If the Telecom AISA position remains vacant for more than 30 days, it could impact the schedule of the LAN activity, which could impact the schedule and cost of the project.

**Description** The Telecom AISA position will be vacated effective May 9. This position is leading the effort to validate and assess the LAN connectivity at the Institution sites. This resource has working knowledge of the 33 Institution sites through the first round of assessments. Based upon the amount of time it takes DCR to fill a vacant position, there is concern these tasks will be affected.

**Trigger** Youth Authority assessment work ready for initiation;

**Action Plan** Work with the Telecom Branch to determine the best approach to complete tasks. Initiate the required paperwork to fill the vacancy.

**Action Plan Updates** 5/24/05 Telecom Branch has redirected a resource to continue work on BIS. KB

No	68	Assigned To	Andrea Rohmann	Risk Exposure	Medium
Date Identified:	4/1/2005	Probability	Low	Time Frame	Medium
Disposition	Open	Risk Type	Quality	Risk Criticality	Medium
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	

**Risk Statement** SCO and BIS will have to coordinate the use of standard Chart of Accounts to insure a 'clean' interface between the two systems.

**Description** SCO and DCR have different chart of accounts. DCR uses a 3-digit number; SCO uses their own chart of accounts. BIS will need to crosswalk data coming out of SCO going into the BIS ERP. Additionally, SCO is in the process of redesigning their system through the 21st Century Project. BIS and SCO will need to make sure that the two systems use the same Chart of Accounts.

**Trigger** Design and development.

**Action Plan** Coordinate with SCO Project Team during design to determine the Chart of Accounts. Identify any discrepancy in data format and work with SCO to resolve.

**Action Plan Updates** 4/18/2005 BIS and SCO along with Gartner met to identify any project overlaps and concerns. Chart of Accounts was discussed and it was agreed that both projects need to coordinate this resolution. 8/8/2005 BIS UPM (Andrea Rohmann) and Exec. Sponsor (Mike Genest) met with DOF (James Tilton) to discuss BIS Project and coordination with control agencies, including SCO. 8/16/2005 BIS UPM met with Clark Kelso and DGS (Ron Joseph and Andrew Chang) along with BIS Exec. Sponsor (Mike Genest) to discuss how we anticipate standardizing ERP solution efforts with SCO. 8/18/2005 BIS UPM met with Clark Kelso, DGS, DGS Procurement, DOF, and DOF analysts to discuss BIS RFP/SPR and importance of developing standards within the ERPs that cross all departments and are defined by the control agencies. As a result, Clark Kelso is exploring the establishment of an Executive Council to develop these standards (includes SCO, DOF, DGS, etc.) AKR



## RISK MANAGEMENT REPORT

No	69	Assigned To	Elbert Lawrence	Risk Exposure	High
Date Identified:	4/1/2005	Probability	Medium	Time Frame	long
Disposition	Open	Risk Type	budget schedule	Risk Criticality	High
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	

Risk Statement	Wide Area Network communication infrastructure is not in place.
Description	WAN activities need to occur prior to the design phase of the project, and need lead time to perform. Delays in any part of the WAN schedule, may affect the project's ability to assess, design, and install WAN components. KB
Trigger	ERP implementation
Action Plan	Work with EIS/Telecom to ensure that infrastructure needs are met prior to implementation.
Action Plan Updates	5/5/05 WAN TPL started 5/2/05 and will review schedule and update as necessary. KB

ID No	70	Assigned To	Jeff Baldo/Kim Brain	Risk Exposure	High
Date Identified:	4/1/2005	Probability	High	Time Frame	long
Disposition	Duplicate	Risk Type		Risk Criticality	High
Risk or Issue	Risk	Impact	Medium	Response Strategy	Watch
				Date Resolved:	

Risk Statement	Duplicate (see ID #76) Increased complexity due to different technical environments
Description	It appears that the Youth Authority end users and DCR end users are supported by different network platforms and desktop computing architectures. This difference increases the complexity of the implementation, testing and performance-improvement activities of the project. Further analysis needs to be done to detail the differences and assess the impact. Once the analysis is complete, the BIS technical resources need to work with the Agency CIO and appropriate managers to strategize how to stabilize the technical environment prior to the implementation of the ERP solution.
Trigger	ERP Solution providers unable to provide solutions
Action Plan	BIS TPM holds a monthly meeting with Adult and Youth technical staff (Technical Roundtable); technology infrastructure projects identified and are being tracked
Action Plan Updates	4/28/05 No new updates.

# RISK MANAGEMENT REPORT

No	71	Assigned To	Andrea Rohmann	Risk Exposure	Medium
Date Identified:	2/1/2005	Probability	Low	Time Frame	Short
Disposition	Open	Risk Type	Schedule, Budget	Risk Criticality	Medium
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	
<b>Risk Statement</b>	Agency consolidation not approved				
<b>Description</b>	In progress; business and technical requirements being collected; RFP being expanded to include all organizations within the scope of the expansion; meeting held with DOF on 2-11-05 and no issues were identified during the meeting.				
<b>Trigger</b>	DOF does not approve the scope change to include agency consolidation as outlined in the Special Project Report.				
<b>Action Plan</b>	The BIS Project Managers and the Executives heading up the Division of Support Services and Office of Information Technology will meet with Department of Finance technology and budget units to discuss the change.				
<b>Action Plan Updates</b>	1-20-05 BIS Project team is planning to contract for Assistant Project Management Services to develop the Special Project Report to obtain approval from Finance. 2-24-05 Department of Finance is expecting the Special Project Report and has acknowledged the Agency-wide implementation as a strategic initiative. 08/15 - Draft SPR sent to DOF				

No	72	Assigned To	Andrea Rohmann	Risk Exposure	High
Date Identified:	2/1/2005	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Schedule, Quality	Risk Criticality	Medium
Risk or Issue	Issue	Impact	High	Response Strategy	Mitigate
				Date Resolved:	
<b>Risk Statement</b>	The unplanned activities associated with the scope expansion to include all of CDCR could impact the project schedule and related costs. This will be determined upon completion of the SPR.				
<b>Description</b>	The need to develop an SPR as a result of the expansion of the project scope as driven unplanned activities (ie - incorporating CDCR into the requirements and bandwidth needs).				
<b>Trigger</b>	SPR submittal - originally August 1, 2005/ revised due to review and need to rebaseline requirement from DOF to October 4, 2005				
<b>Action Plan</b>	Develop project planning documents (i.e. project schedule related to SPR). Determine tasks to be performed. Assign tasks. Complete SPR development.				
<b>Action Plan Updates</b>	4/2005 - SSM I assigned to coordinate SPR activities. 5/2005 - Additional staff resources directed to assist in SPR completion (SSM I and SSA) 6/2005 - SPR draft completed - fiscal documents pending WAN info. 7/2005 - WAN info provided and SPR finalized. 8/2005 - First draft of SPR submitted to DOF OTROS- comments and recommended changes provided 8/26/05. Additionally, DOF OTROS required BIS to rebaseline and complete a BCP. 9/2005 - SPR revised and BCP being developed. Both are due 10/4/2005.				



# RISK MANAGEMENT REPORT

No	73	Assigned To	Andrea Rohmann / Nancy	Risk Exposure	High
Date Identified:	5/1/2005	Probability	Medium	Time Frame	short
Disposition	closed	Risk Type	Schedule Budget	Risk Criticality	High
Risk or Issue	Risk	Impact	High	Response Strategy	Resolved
				Date Resolved:	5/24/2005

**Risk Statement** If the Telecom AISA position remains vacant for more than 30 days, it could impact the schedule of the LAN activity, which could impact the schedule and cost of the project.

**Description** The Telecom AISA position will be vacated effective May 9. This position is leading the effort to validate and assess the LAN connectivity at the Institution sites. This resource has working knowledge of the 33 Institution sites through the first round of assessments. Based upon the amount of time it takes DCR to fill a vacant position, there is concern these tasks will be affected.

**Trigger** Youth Authority assessment work ready for initiation;

**Action Plan** Work with the Telecom Branch to determine the best approach to complete tasks.  
Initiate the required paperwork to fill the vacancy.

**Action Plan Updates** 5/24/05 Telecom Branch has redirected a resource to continue work on BIS. KB

No	74	Assigned To	Ken Ritzman	Risk Exposure	Medium
Date Identified:	5/1/2005	Probability	Medium	Time Frame	Long
Disposition	Open	Risk Type	Cost	Risk Criticality	Low
Risk or Issue	Risk	Impact	Medium	Response Strategy	Research
				Date Resolved:	

**Risk Statement** If the data conversion strategy for the Property Tracking Information is not determined prior to the RFP (July 19, 2005), it may result in an increase in project costs or staff costs upon solution implementation. This is a change management issue.

**Description** The Property Tracking information may need to be converted or reentered in order to get the historical, existing property information into the BIS system.

**Trigger** Release of the RFP - July 19, 2005

**Action Plan** Identify data need.  
Identify current systems compatibility.  
Determine integrity of existing system data.  
Analyze options and cost impacts.

**Action Plan Updates** 6/2005 - Ken Ritzman met with Bob Horel to brief on this issue.

## RISK MANAGEMENT REPORT

No	75	Assigned To	Andrea Rohmann	Risk Exposure	Medium
Date Identified:	11/1/2004	Probability	Medium	Time Frame	Short
Disposition	Closed	Risk Type	Schedule, budget, scope, and quality of	Risk Criticality	Medium
Risk or Issue	Risk	Impact	Medium	Response Strategy	Mitigate
				Date Resolved:	3/1/2005
Risk Statement	If the ERP Software Vendor as the prime contractor is not the most viable Vendor Project Director and is unable to deliver all services as the prime contractor, the quality of the solution could be impacted as well as schedule and cost.				
Description	Currently, DGS and the IV&V consultant recommended the BIS project consider requiring the software vendor to be the prime contractor. The project is concerned that the Software Vendor will not be able to perform this role and provide change management, system integration, installation, development, etc. services. The system integrator firms are normally the point of contact for providing these types of services.				
Trigger	Finalization of the Statement of Work				
Action Plan	Escalate to project sponsor Hold a strategy session with Gartner Group Discuss further with DGS				
Action Plan Updates	3/2005 - Met with Steve Casarez (DGS Analyst) and agreed to change strategy to the allow the System Integrator to be the Prime Contractor. AKR				



# RISK MANAGEMENT REPORT

No	76	Assigned To	Amar Prakash	Risk Exposure	High
Date Identified:	11/1/2004	Probability	High	Time Frame	Long
Disposition	Closed	Risk Type	Schedule, budget, and quality	Risk Criticality	Medium
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	9/29/2005

**Risk Statement** If the CDCR technical environment is unstable, this could affect Scope, Schedule, Budget, and Quality of the BIS Project.

**Description** The department is implementing many technology initiatives over the next few years (WAN enhancements, enterprise data storage, Active Directory deployment), which is changing the underlying technical environment on which the ERP solution will be implemented. Additionally, in February, the scope of the BIS project was expanded to include an Agency-wide implementation. ISD Networks group has indicated that the potential BIS end users reside on two different network architectures (Novel vs. Windows), and are using two different mail systems (GroupWide and MS Outlook). This increases the complexity of the implementation and troubleshooting of problems as they occur, and it increases the difficulty in assessing and implementing potential performance improvement measures, which are planned prior to the implementation of the ERP solution. One of the project's technical objectives is to ensure the ERP solution is available, accessible, secure, and scalable to meet the business requirements today and into the future.

**Trigger** ERP Implementation activities (September 2006)

**Action Plan** Elevate to executive management; maintain ongoing communication with CDCR CIO to discuss issues concerning the technical requirements for the RFP and the other IT initiatives that may impact the ERP solution implementation; continue to attend Technology Roundtable meetings (every month for the last two years) with Agency-wide technology groups, the Telecommunications branch, the Data Technology Services, and BIS technical analysts to discuss these issues. The BIS TPM would like to work with Agency technology groups to strategize on how to ensure a stable technical infrastructure on which to implement the ERP solution given the "technical moving targets" resulting from the implementation of the IT initiatives and Agency consolidation; BIS TPM and UPM tracking.

**Action Plan Updates** The issue has been elevated to the Project Sponsor and Agency CIO. The CDC CIO and BIS TPM have also discussed the issues concerning the technical requirements for the RFP and the other IT initiatives that may impact the ERP solution implementation. The BIS project has been holding a Technology Roundtable meeting every month for the last two years. The intent of this roundtable is to discuss these issues. Agency-wide technology groups, telecom branch, the Teale Data Center, and BIS technical analyst is represented on the committee. The BIS TPM would like to work with Agency technology groups to strategize on how to ensure a stable technical infrastructure on which to implement the ERP solution given the "technical moving targets" resulting from the implementation of the IT initiatives and Agency consolidation; BIS TPM and UPM tracking. 9/13/05 - Based on discussions with Carol Avansino and Merl Ward, BIS is looking at the option of funding the current year need of \$1.0 million to ensure Active Directory is completed by June 2006. The statewide implementation of Active Directory will stabilize the technical infrastructure and create one networking infrastructure. AKR

# RISK MANAGEMENT REPORT

No	77	Assigned To	Deborah Bollinger	Risk Exposure	High
Date Identified:	3/1/2005	Probability	High	Time Frame	Short
Disposition	Closed	Risk Type	schedule, budget	Risk Criticality	High
Risk or Issue	Issue	Impact	Medium	Response Strategy	Mitigate
				Date Resolved:	4/1/2005
<b>Risk Statement</b>	If the Youth Authority Headquarter and Facility End User Lists are not finalized by May 31, 2005, the Telecomm assessment will be impacted which could impact the implementation of LAN, hence the schedule and cost of the BIS solution.				
<b>Description</b>	The BIS team is behind schedule in completing the Youth Authority end user requirements for the RFP. According to the current schedule, this task was planned to be completed by March 11, 2005. Once the Youth Authority end users are identified, the BIS functional experts will need to map them to the processes, and identified end user license information. Additionally, Telecom is waiting for this information to begin assessing the Youth Authority facilities.				
<b>Trigger</b>	CDC end user assessments completed				
<b>Action Plan</b>	Continue to work with Youth Authority and follow-up on requests for end user information.				
<b>Action Plan Updates</b>	Multiple meetings and on-site sessions were held with CYA HQ and facility staff to document the required information. 5/2005 - All information was included with the end users as provided in the RFP.				

No	78	Assigned To	Ken	Risk Exposure	Low
Date Identified:	11/1/2004	Probability	Low	Time Frame	Long
Disposition	Closed	Risk Type	Schedule Cost	Risk Criticality	Low
Risk or Issue	Issue	Impact	Low	Response Strategy	Research
				Date Resolved:	3/1/2005
<b>Risk Statement</b>	From a solution perspective, it is unclear if it is possible to include Facilities, Business, and Risk management requirements within the core of an ERP solution. This needs to be determined prior to the finalization of the RFP, July 19, 2005 or it could impact the project schedule and cost.				
<b>Description</b>	The FSR recognized the need to include Facilities, Business and Risk Management requirements as future components of the ERP solution. Although these are not part of the initial implementation plan, the expectation is that what ever solution is selected would have the ability to expand into these areas in the future. Of greater concern is whether these areas really belong in the realm of an ERP solution or if they are third party or add-on software solutions. A clear understand of the requirements and the ERP solution is needed to determine the true impact of this issue. (i.e., if these requirements represent non-ERP systems, they should be named differently, e.g., is Risk really a case management system?)				
<b>Trigger</b>	Upon final approval of the RFP, July 15, 2005.				
<b>Action Plan</b>	Research ERP solution components. Document the needed requirements. Analyze the compatability of the two, ERP and requirements.				
<b>Action Plan Updates</b>	3/2005 - During the document of the requirements and discussion with Gartner, it was determined these would require third party or add-on relationships and therefore and not included in the RFP. 8/26/2005 - DOF OTROS made it clear that anything not approved as the initial phase of implementation (HR, Finance, Procurement/Contracts) is not to be included in the RFP. This confirms the position to not include Facilities, Risk or Business Management in these procurement documents. These would require a separate FSR.				



# RISK MANAGEMENT REPORT

<b>No</b>	79	<b>Assigned To</b>	Andrea Rohmann	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	8/31/2005	<b>Probability</b>	High	<b>Time Frame</b>	Short
<b>Disposition</b>	Open	<b>Risk Type</b>	Schedule Budget	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Mitigate
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If DOF does not approve the SPR and related BCP by November 15, 2005, which would allow DGS time to conduct their review, the RFP release will be delayed beyond January 1, 2005, which impacts cost and schedule.				
<b>Description</b>	As of August 29, 2005, DGS has indicated they will not conduct any further review of the RFP until DOF approves the SPR. Per the August 31, 2005 meeting with DOF, the BIS is required to submit a Fall BCP related to the SPR issues. However, DOF will not approve the SPR until inclusion of funding decisions in the Governor's Budget (January 10, 2005). This would result in DOF not initiating their final review until after January 10 and a subsequent further delay in release of the RFP until March 1, 2006. The end impact would be a 1 year delay in the full project and implementation.				
<b>Trigger</b>	November 15, 2005 - approval of BCP by DOF and agreement of SPR.				
<b>Action Plan</b>	8/31/05 - UPM advised Exec. Sponsor (M. Genest) regarding impact on project schedule of DOF discussion. 9/1/05 - UPM met with Exec. Sponsor and discussed concerns with Anne Sheehan (DOF). 9/1/05 - Exec. Sponsor coordinating meeting with DOF (Anne Sheehan, Fred Klass, et al.) DGS (Ron Joseph) and CDCR (BIS, Jeff Baldo, et al) to strategize on how to keep project on schedule. - Meeting is anticipated to be schedule within 2-weeks.				
<b>Action Plan Updates</b>	8/26/05 - Met with DOF OTROS regarding the RFP/SPR. Received 1st set of questions and prepared responses. 9/8/05 - Met with DOF OTROS to further discuss SPR/RFP and BCP. 9/9/05 - Responded to second set of DOF OTROS questions regarding RFP/SPR. 9/14/05 - UPM met with Exec. Sponsor (Armand Burrue) and requested the meeting with DOF and DGS be set. 9/16/05 - John Moranga (DGS Analyst) has been assigned to the RFP. A meeting has been requested and is being coordinated.				

<b>ID No</b>	80	<b>Assigned To</b>	Amar Prakash	<b>Risk Exposure</b>	High
<b>Date Identified:</b>	8/31/2005	<b>Probability</b>	Medium	<b>Time Frame</b>	medium
<b>Disposition</b>	open	<b>Risk Type</b>	Schedule Budget Quality	<b>Risk Criticality</b>	High
<b>Risk or Issue</b>	Risk	<b>Impact</b>	High	<b>Response Strategy</b>	Research
				<b>Date Resolved:</b>	
<b>Risk Statement</b>	If the CDCR WAN does not contain sufficient bandwidth to support all of the CDCR IT needs, the response time for information access may be slow and unacceptable to the end user.				
<b>Description</b>	In order for the ERP to be an effective tool for the end user, the ERP data must be able to move through the CDCR WAN in a timely manner. As a result of discussions with the WAN Technical Project Lead (TPL) Larry Angus, the CDCR WAN does not currently contain the required bandwidth to ensure that the ERP will be able to perform to acceptable standards. The required bandwidth must be in place prior to ERP implementation.				
<b>Trigger</b>	ERP implementation, July 2006				
<b>Action Plan</b>	The WAN TPL must determine the bandwidth requirements for the CDCR and the current WAN bandwidth levels. The BIS project team must continue to work with the WAN TPL to ensure that this issue is rectified.				
<b>Action Plan Updates</b>					

## RISK MANAGEMENT REPORT

No	81	Assigned To	A Rohmann A Prakash	Risk Exposure	High
Date Identified:	9/28/2005	Probability	Medium	Time Frame	short
Disposition	open	Risk Type	Quality	Risk Criticality	High
Risk or Issue	Risk	Impact	High	Response Strategy	Mitigate
				Date Resolved:	
Risk Statement	If Vendor Financing is used as an evaluation criteria but not actually implemented; a vendor would likely file a protest.				
Description	The current version of the RFP requires vendors to submit vendor financing (VF) as part of their proposal. The evaluation plan does not include VF as part of the scoring criteria. The current plan is to allow vendors to submit a VF proposal that will or will not be accepted (e.g. interest rate is better than alternative financing).				
Trigger	If RFP is released to include VF as an option.				
Action Plan	Discuss with DOF to determine whether or not vendor financing should be included as part of the RFP.				
Action Plan Updates	9/05 SPR to DOF will include a cost analysis showing that VF is a not a cost-effective alternative.				